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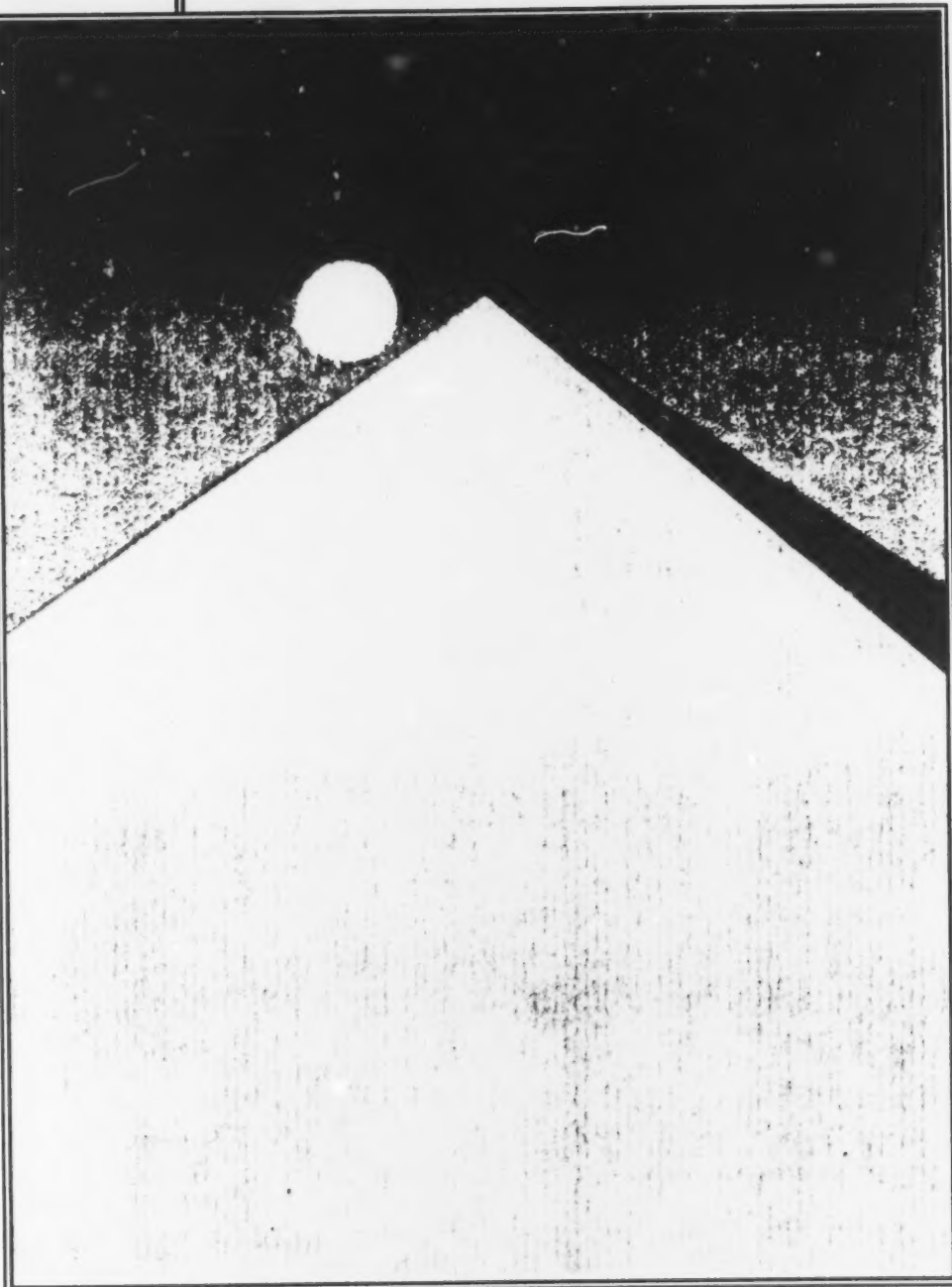
ABSTRACT

This policy paper is part of the plan for achieving universal literacy in New York State. It acknowledges accomplishments in creating a statewide network of public and private providers, in public financing, and in the public recognition of literacy's importance; it then examines what must be done to further meet literacy needs. The proposed solutions must address the following challenges: determining adult literacy needs; assigning priority to adult literacy programs and services; eliminating physical and programmatic barriers; and improving adult literacy instruction, curriculum, and assessment. The following recommendations are made: (1) adult literacy and lifelong learning programs should be part of the state's comprehensive educational system; (2) adult literacy needs should be determined; (3) learning opportunities for adult literacy students should be improved; (4) programs should be relevant and appropriate to adult learners; (5) resources and support should be provided to staff; (6) adult literacy teachers should earn pay equal to elementary-secondary teachers; (7) appropriate performance standards should be established; (8) effective assessment instruments and technical assistance should be supported; and (9) programs should provide learner-centered instruction and support systems and promote student leadership and program involvement. Also included are a 19-item bibliography and 4 appendices with information on: the planning committee; federal, state, and special literacy programs; literacy convention resolutions; and proposed legislative initiatives. (NLA)

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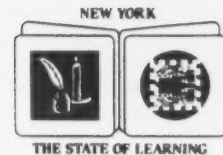
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PRESIDENT OF THE UNIVERSITY
AND COMMISSIONER OF EDUCATION
THE NEW YORK STATE EDUCATION DEPARTMENT
ALBANY, NEW YORK 12234

February 20, 1992

To All Interested Parties:

The enclosed document, Adult Literacy: The Key to Lifelong Learning, represents the first step in the development of a blueprint for achieving universal literacy in New York State. This plan comes at a critical time as the State faces many challenges:

- o training and retraining workers to compete in a highly competitive global economy
- o providing educational programs to Limited English Proficient adults and the enormous number of immigrants arriving in New York
- o helping adults adapt to today's fast-paced technological changes.

As an initial response to these challenges, this document focuses on learning as a lifelong endeavor for everyone.

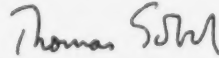
We believe that adult literacy is a fundamental part of a lifelong process of learning. Literacy determines how we communicate and learn, pass on cultural traditions, and function in our roles as worker and family and community members. Individuals considered literate in the future will be those who have the ability to participate in and benefit from a lifelong learning process.

We hope you will agree that New York State has worked hard to meet the literacy needs of adults, but will also see that much more must be done. We think the various recommendations and the proposed legislative initiatives outlined in Adult Literacy: The Key to Lifelong Learning constitute an agenda for action.

-2-

This policy paper, adopted by the Board of Regents in October 1991, is the result of contributions by many individuals, organizations and agencies. Pivotal among these was the Planning Committee for the New York State Adult literacy Plan. I invite you to join us in helping to make universal literacy in New York State a reality.

Sincerely,

A handwritten signature in dark ink, appearing to read "Thomas Sobol". The signature is written in a cursive, slightly slanted style.

Thomas Sobol

Enclosure

*Adult Literacy:
The Key to Lifelong Learning*

The University of the State of New York
The State Education Department

February 1992

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ACKNOWLEDGMENTS

This report was compiled and edited by Camille Fareri and Thomas E. Fox. However, it could not have been produced without the expertise, commitment and hard work of a number of people and organizations. The members of the Planning Committee for the New York State Adult Literacy Plan deserve special mention. The members and their affiliations are listed in Appendix A. Additional thanks are due to Jacqueline Cook for compiling and editing an earlier draft of this report. Word processing was done by Linda Person and Mary Bates.

CONTENTS

ACKNOWLEDGMENTS	iii
EXECUTIVE SUMMARY	vii
I. INTRODUCTION	1
II. THE NEED FOR ADULT LITERACY	3
A. Today's workplace demands an expanded definition of literacy.	3
B. Special populations need literacy services.	3
III. THE PRESENT SITUATION: LITERACY PROGRAMMING IN NEW YORK STATE.....	5
A. Successful early education and development are linked to adult literacy.	5
B. Adult literacy programs are developed in response to the diverse needs of adult students.....	5
C. New York State literacy programs are variously funded.....	6
D. New York State coordinates Federal, State, and local literacy programs.	8
E. Interagency councils facilitate the development of literacy programs in New York State.....	9
F. New York State responds to the needs of its adults.....	9
IV. THE CHALLENGES BEFORE US	11
A. New York State has not fully addressed the adult illiteracy problem.	11
B. Agencies do not currently assign a high priority to adult literacy services.....	11
C. Currently there are numerous barriers to participation in adult literacy programs.....	11
D. The quality of adult literacy programs is inconsistent.....	13
E. Program evaluations are not consistent.....	14
F. Funding for literacy programs is inadequate, often comes from noneducation agencies, and is categorical and targeted toward specific populations.	15

V. RECOMMENDATIONS	16
A. Broaden public commitment to adult literacy and lifelong learning	16
B. Define the literacy needs of adults.....	16
C. Increase capacity, accessibility, and coordination of programs	17
D. Strengthen the quality of adult literacy programs	18
E. Improve systems of accountability	19
APPENDICES	
A. Planning Committee	21
B. Federal, State, and Special Literacy Programs In New York State.....	23
C. New York State Literacy Convention Resolutions	29
D. Proposed Legislative Initiatives	31
BIBLIOGRAPHY	36

EXECUTIVE SUMMARY

Currently over 200,000 adults in New York State are enrolled in programs that teach them to read and write or improve their reading and writing skills. At the same time, over two million of their fellow New Yorkers need to be in a literacy program.

Adult literacy is essential to the well-being of our economy and to the increased participation of all people in our political processes. It is the basis of any program of formal learning. Literacy determines how we communicate and learn, transmit cultural traditions, and function in our roles as workers, family members, and community members.

To meet its adult literacy needs, New York State has developed a pluralistic network of Federal, State, and local public and private resources to provide a wide range of services. Over the past 10 years, this network has responded to the literacy needs of over 900,000 learners. And during those years, the resources devoted to literacy services and the number of people who have participated in the programs have steadily increased. Currently, over \$95,000,000 are spent each year in the State on those services.

Despite the success of these programs, the problems they address have not been solved. Large numbers of youth are dropping out of high school; adults who lose their jobs need new and different skills for newly created jobs; many new immigrants do not speak English; and technological developments continue to make new demands upon workers.

This policy paper represents the first step in the development of a plan to achieve universal literacy in New York State. It acknowledges accomplishments in creating a statewide network of public and private providers, in public financing, and in the public recognition of literacy's importance, and then examines what must be done to meet the continuing and expanding needs in this area.

In addressing these needs, the solutions New York State proposes must address the following challenges:

- Determining the extent and nature of the literacy needs of its adult population
- Encouraging educational institutions to assign a high priority to adult literacy programs and services
- Eliminating the physical and programmatic barriers that prevent adults, especially those with disabilities, from getting the literacy services they need
- Improving the quality of adult literacy instruction, curriculum, and assessment, including developing models for connecting instruction in basic and occupational skills
- Securing adequate funding.

The following recommendations are made for addressing New York State's literacy needs:

- Adult literacy and lifelong learning programs should be recognized as part of the State's comprehensive educational system; and lifelong learning, as an essential element of the social structure.
- In order to inform and improve policy, the State should develop a comprehensive research and evaluation plan to determine the literacy needs of the adult population.
- The State should improve the learning opportunities available for adult literacy students by supporting better coordination of services and funding, by securing additional funds for increasing the number of programs available and the capacity of existing programs, and by supporting the development of innovative instructional models, including models which use work, home, and community responsibilities as the context for instruction in basic skills.
- Providers of literacy programs should assure that programs are relevant and appropriate to adult learners with diverse backgrounds and characteristics; accessible by people with disabilities; vigorously and positively promoted to adults who need literacy services; and offered in convenient and safe locations.
- All adult literacy program staff should be provided with the resources and support necessary to provide effective literacy services, including staff development.
- Adult literacy teachers, with comparable preparation, should have opportunities to secure full-time permanent positions with salaries that are commensurate with those of elementary and secondary teachers.
- The State Education Department should work with other experts in the field to establish appropriate, measurable performance standards for adult literacy programs.
- The State Education Department should support the development and use of effective assessment instruments for measuring the learning outcomes of all adult literacy programs, and should provide technical assistance in program evaluation to the various adult literacy providers across the State.
- Adult literacy programs should provide learner-centered instruction, learner support systems, opportunities to promote student leadership and involvement of learners in all elements of the program.

The implementation of these recommendations would create a comprehensive system of adult learning in New York State. Such a system would have the capacity to serve all types of learners, the quality and availability to help learners reach their goals, and the accountability to ensure results from the public and private investments in the system. Therefore, the Department proposes developing a specific action plan which includes a timetable, cost estimates, and staff assignments to accomplish these recommendations.

I. INTRODUCTION

Definitions of literacy range from the ability to sign one's name and recite the alphabet to the mastery of complex reading, writing, computation, and oral communication skills. Some definitions equate literacy with the ability to function independently in one's social setting; others include concepts of critical thinking, problem solving, reflection, and individual empowerment.

In secondary schools literacy is also defined in various ways. Academic literacy comprises the study of literature, composition, grammar, and traditional rhetorical patterns. Vocational or "utilitarian" literacy focuses on functional reading, writing and communication skills, and attempts to apply these to tasks found in business, government, and industry.

The National Literacy Act of 1991 put forward the following definition: "...the term literacy means an individual's ability to read, write and speak in English and compute and solve problems at levels of proficiency necessary to function on the job and in society, to achieve one's goals, and one's knowledge and potential." (Public Law 102-73 - signed by the President, July 25, 1991)

Literacy has also been defined by years of schooling. This definition is unsatisfactory because people with limited schooling may have adequate skills and people with extensive schooling may lack basic literacy skills.

Test results are frequently used to report levels of functional literacy. These results are often expressed as grade equivalents with various cutoffs (usually fifth, eighth, ninth or twelfth grade) set as thresholds of literacy. There is debate over the usefulness and appropriateness of grade-level equivalents, however.

In 1985, the National Assessment of Educational Progress (NAEP) produced a "profile of adult literacy" by evaluating adult performance on a wide variety of simulated literacy tasks that adults encounter at home, at work, at school, and in their communities. This NAEP study identified three distinct and important aspects of adult literacy:

- *prose literacy* - the knowledge and skills needed to understand and use information

from texts, such as editorials, news stories, magazine articles, etc.

- *document literacy* - the knowledge and skills required to locate and use information contained in job applications, on payroll forms, bus schedules, maps, tables, indexes, etc.

- *quantitative literacy* - the knowledge and skills needed to apply arithmetic operations, either alone or sequentially, that are embedded in printed materials, such as in balancing a checkbook, figuring out a trip, completing an order form or determining the amount of interest from a loan advertisement. (Kirsch and Jungeblut, *LITERACY: Profiles of America's Young Adults*, p.4.)

Determining the literacy level at which a person functions depends on the person's role and expectations and the background knowledge he or she possesses when entering a new situation. As individuals adapt to different life situations, they must acquire new or improved skills.

Just as learning is a lifelong activity, literacy is a lifelong process. It does not end at a fixed point or level, but changes as the world we live and work in changes. ("Debunking The Myths About Workplace Literacy," Contact Center.)

Changes in the economy, society, and family necessitate adjustments in how we express our concerns, organize to get things done, and collaborate with new colleagues and partners, many of whom are individuals from other countries. Effectively joining together as neighbors and co-workers with varied backgrounds demands an ever-changing understanding of new cultures, patterns of thought, languages and traditions. To succeed in this world, people must have increased opportunities for lifelong learning. In addition, the level of basic skills necessary to function effectively in society changes over time. Today, adults in comparable situations must have higher levels of basic skills than did their parents.

Literacy is not only necessary to make a living, it is necessary to make a life. (President George Bush, Remarks made at the signing of the National Literacy Act of 1991.)

With so many points of view on the definition of literacy, a recent literature review by Crandall and Imel suggests that "...it may be more useful to consider literacy as a continuum and the goals of adult literacy programs to be less those of combating illiteracy and more of expanding literacy...." (Crandall and Imel, "Issues in Adult Literacy Education," p.3.)

The relationship between literacy and poverty must also be recognized. Many of the adults who live in poverty in New York State are individuals who did not complete high school. Many lack basic literacy skills. Studies show that a large number of functionally illiterate adults have parents with low levels of education. Breaking this cycle of poverty is one of the primary goals of family literacy programs.

Nowhere is the problem of adult illiteracy more serious, more widespread, and more difficult to combat than within the walls of correctional facilities. Correction authorities report that 84 percent of the nearly 60,000 men and women in New York State prisons today do not have a high school diploma. Large numbers of these inmates cannot read (17 percent) or do math (23 percent) on a fifth-grade level. Besides the extensive network of courses in basic skills, occupational education, English as a second language, and General Education Development (GED) preparation offered by the State prison system, there are also State-sponsored incarcerated youth programs which serve those in county correctional facilities who have not graduated from high school.

Historically, the role of literacy has been shaped by the social, political, and economic events of the time. People tend to turn to education when faced with certain challenges. At the turn of the century, adult literacy education was a response to the need for immigrants to learn the language of their new country. Adult literacy education also played a part in mobilizing human resources for World Wars I and II and supporting the War Against Poverty of the 1960s. Similarly, adult literacy education can respond to many of today's crises. While literacy is not the panacea for all of the State's problems, it is fundamental if individuals are to engage in lifelong learning and have the ability to make continuing contributions to New York State.

To ensure that every New Yorker has access to lifelong learning, the Board of Regents initiated development of a literacy system drawing upon a network of diverse providers. Fundamental to that system are the premises that adult learners should be able to choose where they want to pursue learning and that government, at all levels, must ensure that ample opportunities exist for choice among providers. This policy paper sets out a plan and strategies to serve all types of learners, the quality and availability to help learners reach desired goals, and the accountability to guarantee results. Key to the effectiveness of this system will be its flexibility and responsiveness to the changing needs of New York's population.

The objectives of this first step in meeting New York's literacy needs are the following:

- *Increase awareness of what literacy is; why it is needed; and how literacy needs change over time.* Literacy benefits all population groups, including youth, adults, and individuals with disabilities. This plan demonstrates the Regents commitment to the overall goals of education, which emphasize the fulfillment of an individual's potential and the availability of opportunities for all citizens to achieve personal goals.
- *Disseminate information* about the current status of adult literacy education within New York and the related challenges facing the State.
- *Promote recognition of the need for a plan of action to provide appropriate literacy education.* The State's literacy efforts are an extension of **A NEW COMPACT FOR LEARNING**. Action on this Plan's recommendations by the State's policymakers and the many providers of literacy services, including the enactment of legislative proposals listed in Appendix D, will build a comprehensive literacy and lifelong learning system for adults in New York State.

Appendices B and C provide detailed information about the various literacy programs and special initiatives under way in New York State and the resolutions of the 1989 New York State Literacy Convention.

Representatives from the literacy community, including practitioners, policymakers, scholars, and business and labor leaders, advised the Regents in the development of this Plan and the formulation of its recommendations.

II. THE NEED FOR ADULT LITERACY

A. Today's workplace demands an expanded definition of literacy.

Employers need workers with stronger basic skills to accomplish tasks in today's workplace and to adapt to tomorrow's workplace. The Hudson Institute's **WORK FORCE 2000** report forecasts that over the next 15 years, the United States will have a growing mismatch between job skill requirements and available workers. The report further confirms that the jobs of the future will require more sophisticated skills than today's jobs.

In many areas of New York State, business and industry are already experiencing a shortage of skilled workers. Two major factors contribute to this shortage: an aging work force with fewer youth entering into it; and changes in technology and the organization of work, which demand workers with higher-level skills. In the 1950s and 1960s many members of the work force performed repetitive tasks in a manufacturing economy based on mass production. The 1970s and 1980s witnessed the emergence of technology as a driving force, changing the nature of manufacturing and giving rise to an information and service economy. Today, instead of needing workers capable of doing repetitive and limited tasks, New York State needs workers who can be creative, solve problems, work in groups, master a variety of tasks, and adapt to changing job demands. The workers of the 21st century need strong basic skills and the ability and desire to be lifelong learners. An expanded definition of literacy is necessary to incorporate these requirements.

The June 1991 report of the Department of Labor Secretary's Commission on Achieving Necessary Skills (SCANS) identifies reading, writing, and mathematics/computational skills as essential for workers in a wide range of occupations. The Commission also includes listening and speaking as part of the foundation necessary for successful work. The Commission further suggests that additional skills and competencies in areas such as thinking, resource management, working with others, managing information, understanding systems, and applying technology are neces-

sary for workers. The SCANS findings suggest that basic skills needed for the workplace must be broader than traditional views of reading, writing, and arithmetic. Furthermore, the connection between those expanded basics and skills needed to perform in a specific occupation should be strengthened.

Tomorrow's workers, the workers of the early 21st century, include in large part the adult workers of today. Approximately 86 percent of New York State's work force in the year 2000 are currently in the work force. An estimated 90 percent of all new jobs will require at least a high school diploma. In order to ensure that today's workers meet tomorrow's demands, workplace literacy programs for adults will assume an even greater significance in literacy education in New York State.

The July 1991 White House Conference on Library and Information Services examined the ways in which library and information services can help the United States increase literacy. The three themes of the White House Conference (enhance literacy, increase productivity, and strengthen democracy) mirror Regents policy concerns. The November 1990 New York State Governor's Conference on Library and Information Services addressed these same themes. Both conferences recommended greater cooperation among libraries, schools, and other educational agencies in finding and helping people who need to improve their literacy skills.

Ensuring workplace literacy will require a commitment of resources of business, organized labor, government, and individual workers.

B. Special populations need literacy services.

Women, persons with disabilities, immigrants, incarcerated youth and adults, and the poor are turning to adult education for help in meeting the social and economic challenges of today.

Women will enter the work force of the 21st century at a rate faster than the overall growth of the work force. Current estimates show that women will

fill three out of five new jobs created between now and the year 2000 continuing a trend which started in the 1980s. This continued influx of women into the work force will challenge adult education and social services providers. More women will need counseling, basic skills education, training, and support services, such as child care, as they undertake new family, civic, and career responsibilities.

Many individuals with physical or developmental disabilities are denied full access to the social, economic, and occupational opportunities available to the general population. Many such individuals never enter the work force because they have not had the opportunity to fulfill their potential.

Even when employed, an individual with a disability often earns less than workers without disabilities. One reason for this lack of fuller participation and parity is that persons with disabilities may lack both the basic literacy and occupational skills required to succeed in today's work force. Helping these adults to learn those skills remains a major concern for adult educators.

New York State also accommodates large numbers of immigrants. Most projections place the current annual influx of legal and illegal aliens at 750,000 nationally. New York is one of the three states in which most of these immigrants settle. The vast majority of newcomers enter from Third World countries, where educational opportunities may have been limited. Most cannot speak, read, or write English, and to compound the problem, many are also unable to read and write in their native language. Even those immigrants who are highly skilled or educated in their native language often require extensive English instruction in order to participate in civic, economic, and educational activities in this country.

Immigrants also typically experience a decline in occupational level when entering the American economy. A 1990 City University of New York study shows that immigrants who had been employed in professional, managerial, and agricultural positions prior to emigration are rarely found in those categories once they immigrate to New York State. Immigrants who had technical, sales, or administrative occupations in their home countries often must take lower-level jobs. The mismatch between high-level language requirements of many occupations and the limited language skills of many immigrants contributes significantly to this decline in employment.

With the passage of the Immigration Reform and Control Act (IRCA) of 1986 which gave undocumented immigrants an opportunity to live and work in the United States, newly legalized immigrants began to receive education, health, and social services. In New York State, 167,000 immigrants applied for amnesty within the relatively brief period allowed under IRCA. This group continues to need adult education and job training services, and a limited amount of funding is available for basic skills instruction. No IRCA funds may be used for occupational training, and subsequent Federal immigration legislation enacted in 1990 provides no funding for new immigrants to attend English as a second language classes.

New York State also provides literacy education to the incarcerated. Currently, in New York State, the combined incarcerated population in State and county correctional facilities exceeds 190,000 men and women. The widespread illiteracy among these inmates is a major factor contributing to their lack of success in a variety of social, occupational, and educational areas. Adult literacy programs within prisons and jails have made a positive difference. In 1989, the New York State Department of Corrections reported the results of a study that clearly indicates a relationship between earning a High School Equivalency Diploma through participation in a General Education Development (GED) preparation program while incarcerated and a reduced probability of returning to the Department's custody. Therefore, opportunities for participation in literacy, English as a second language, and GED programs must be expanded to help reduce recidivism in New York State.

In addition, greater opportunities for adult education must be available to adults on public assistance as recognized in the Family Support Act of 1988. Over the past 10 years, the number of families receiving Aid to Families with Dependent Children has declined slightly. At the same time, however, the number of working individuals earning incomes below the poverty level has risen 52 percent. This growth in poverty must be accompanied by comparable growth in access to adult education if this cycle is to be reversed.

III. THE PRESENT SITUATION: LITERACY PROGRAMMING IN NEW YORK STATE

A. Successful early education and development are linked to adult literacy.

The course of literacy development is set before a child goes to school and influenced by both internal and external factors. Internal factors such as disease and neurological dysfunction, which may be responsible for a systemic learning disability, may delay or impair literacy development. External factors such as parental abuse or neglect, severe economic deprivation, and drug or alcohol addiction may also affect literacy development.

Growth in language, however, is possible under a remarkably wide range of circumstances. If very young children are read to and have frequent opportunities to look at and "handle" books on their own; if their parents and family members engage them in conversation; if they are provided opportunities for drawing and writing; and if they are exposed to information about the world, their growth in language abilities will be considerably enhanced. To the extent that children spend their early years in homes where the adults lack literacy skills, do not have books, or are unable to read to them, or where there is little opportunity to speak or read in English, their language potential may not be achieved. When a family literacy program engages these children and their parents in appropriate literacy activities, the literacy potential of these children can be achieved. Without such support, these children begin formal schooling with a disadvantage which may result in inadequate literacy development.

In secondary schools, literacy development is left primarily to the English program. The literacy demands made on secondary students, however, rise quite sharply, as students are expected to do most of their reading outside of school; to listen to lectures and take notes; and to write formal papers and do projects. Peer pressure and social expectations place additional stress on teenagers. Inadequately prepared

students may be overwhelmed by these increased demands; without sufficient support, they may be unable to successfully cope with these new circumstances and they may then find that their weak skills prevent them from succeeding in their adult roles.

B. Adult literacy programs are developed in response to the diverse needs of adult students.

*Adults' perspectives on literacy education will reflect their assessments of their concrete situations; literacy programs must do likewise. A range of literacy program models is necessary to correspond to the range of illiterate adults' characteristics and their social contexts. (Hanna Arlene Fingerett, *Adult Literacy Education: Current and Future Directions*, p.39.)*

New York State has provided a wide range of programs and services for adults. Adults can choose from programs available through a network of providers, including public schools, BOCES, two- and four-year private and public colleges and universities, community-based organizations (CBOs), volunteer programs, other State and local agencies such as corrections and health, libraries, museums, businesses, labor unions, educational and public television, and proprietary schools. This pluralistic service delivery system was developed in response to the diverse needs of adult students.

New York State also provides independent study and assessment options for adults through the External High School Diploma program and Regents College. These programs offer educational advancement for adults who are good independent learners, have mastered basic skills, and have attained prior learning and work experience that are applicable to a high school credential or a college degree.

Although most literacy instruction is provided in a classroom setting, home study, and small-group or

one-to-one tutoring are available alternatives for adults seeking literacy instruction. Computer-assisted instruction, video and telecommunications are also being used more frequently for literacy instruction. Any instructional technologies used with this population must be appropriate and adult specific. Each approach can be used alone or in combination. Volunteers provide most of the tutoring and some small-group instruction. Paid teachers, often employed on a part-time basis, serve as classroom instructors.

Diversity of services also means providing adults with alternative program schedules. Intensity of instruction varies from semi-weekly 1 1/2-hour tutorials to 25-hour-per-week programs for those who can spend more time studying. Most programs operate weekdays and/or evenings. A few programs provide weekend services. Full-time day programs are increasingly available.

Other variations in programs similarly reflect the preferences of the adults they serve. While the larger multiservice ACCESS (Adult Centers for Comprehensive Education and Support Services) centers are popular, some students prefer more intimate community settings such as a community-based organization or the local branch library, where services may be more tailored to community needs and conducted in small groups or on a one-to-one basis. Many people are attracted to the convenience of programs offered at the work site, especially to workplace literacy programs that employ contextualized curricula and applied learning activities. However, those

seeking anonymity may look for a program away from their work or neighborhood. Many programs serve specific populations with shared backgrounds or circumstances such as programs for young mothers, recent immigrants, incarcerated youth and adults, or co-workers in a particular industry. Other programs are designed to serve people who have had legal or substance abuse problems. The variety in these programs often reflects a difference in instructional approach as well as program philosophy. Students can choose the setting, schedule, style and content most appropriate to their needs and circumstances.

C. New York State literacy programs are variously funded.

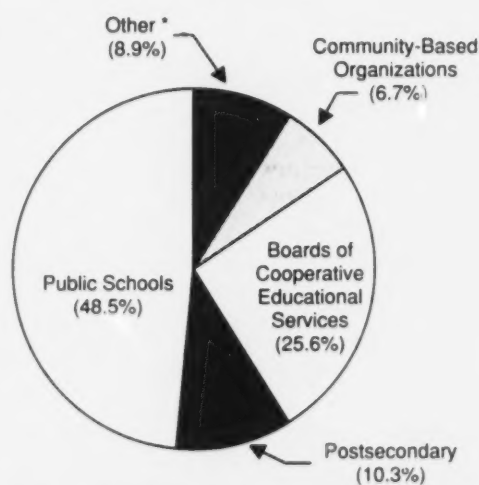
Federal, State, and local, public, and private resources are used to support New York State's diverse network of adult literacy education providers.

Although a nationally funded adult literacy education system is a relatively new phenomenon, adult education programs designed to serve immigrants or those in the military or correctional facilities have existed for many years. The 1960's War Against Poverty stressed the connection between basic skills and individuals' abilities to secure employment. Passage of the 1964 Economic Opportunity Act, the Adult Education Act of 1966, and the Federal Library Services and Construction Act (LSCA) reauthorizations created the initial funding for the present form of the adult literacy education system.

From the 1960s to the 1980s, adult literacy education in New York State received its primary support from the Federal Adult Education Act. The State contributed modest funds to supplement high school equivalency efforts and education programs for welfare recipients. A few literacy programs were supported by the private sector.

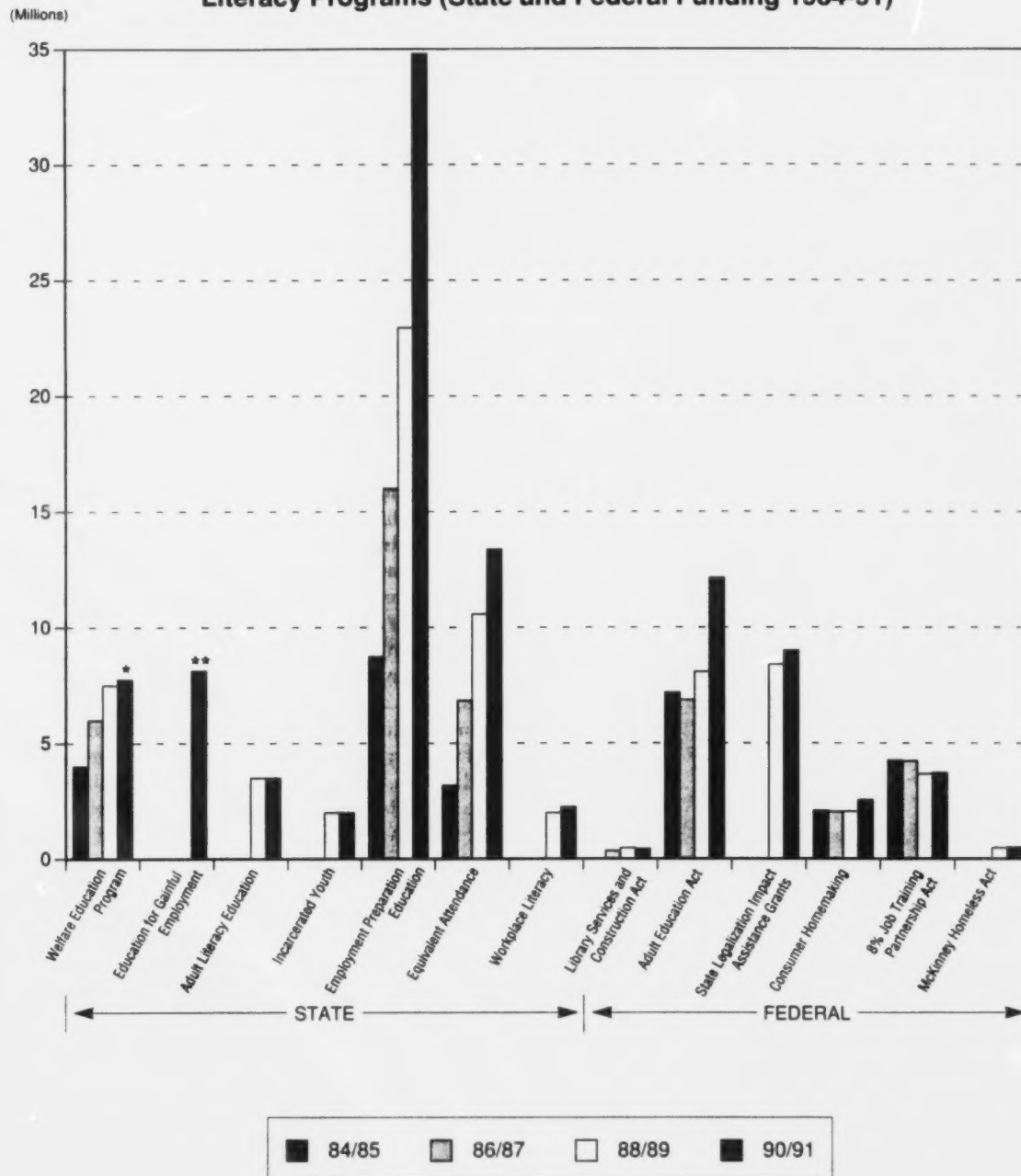
This changed in 1984 when, responding to growing public awareness of the need for adult literacy instruction, New York's Legislature passed the Employment Preparation Education Act (for adults over 20 years of age) and the Equivalent Attendance Act (for young adults 16 to 20 years of age). This legislation provided funds to local educational agencies for basic education, high school equivalency instruction, External High School Diploma assessment, English language instruction, completion of a traditional high school program, and life skills instruction. Simultaneously, a major literacy initiative was inaugurated in New York City, providing substantial financial resources to the State's largest urban area, where

Figure 1
New York State Adult Literacy Providers
(Enrollment 1989-90)



*Other: Libraries and volunteer organizations

Figure 2
Literacy Programs (State and Federal Funding 1984-91)



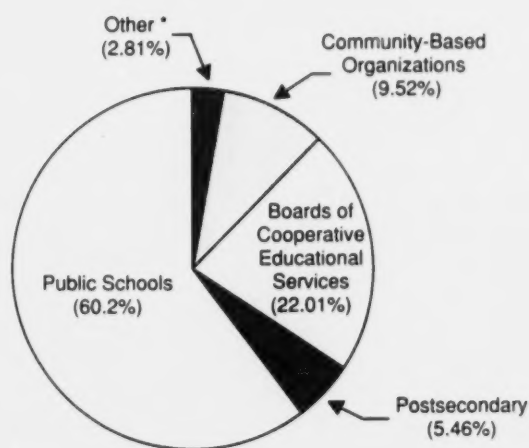
* The Welfare Education Program (WEP) 1990-91 figure includes \$3.25 million designated for the Education for Gainful Employment (EDGE) program.

** This EDGE figure represents \$3.25 million of WEP funds which drew down a Federal match of \$4.875 million under the Job Opportunities and Basic Skills Training Program.

the need and demand for literacy services were the most intense.

By the mid-1980s, the framework for a comprehensive adult literacy education system in New York State was established. This infrastructure includes all public and independent educational agencies in the State, as well as community-based organizations (CBOs), service delivery areas, Job Training Partnership Act programs, 50 volunteer literacy agencies, and a growing number of library systems. [See Figures 2 and 3.]

Figure 3
New York State Adult Literacy Providers
(Funding 1989-90)



*Other: Libraries and volunteer organizations

In 1979 New York was one of the first states to use Federal Adult Education Act funds to support literacy programs provided by CBOs, colleges, libraries, labor unions and other not-for-profit agencies. In 1988, New York State passed the Adult Literacy Education bill, which allocated State resources for the first time to support CBOs providing adult literacy education programs in the State.

New York State also hosts the two major, not-for-profit, volunteer literacy organizations, Literacy Volunteers of America, and Laubach Literacy Action. State and Federal funding is provided to Literacy Volunteers of America, which is represented in many localities across the State.

Additional State and Federal legislation has funded literacy services to immigrants, workers, parents, and the homeless, while a variety of adult literacy programs continue to be supported by the private sector.

D. New York State coordinates Federal, State, and local literacy programs.

Three Federal agencies have primary administrative responsibility for adult literacy: the Department of Education is responsible for services authorized by the Adult Education Act, the federal Library Services and Construction Act (LSCA), and the Carl D. Perkins Vocational and Applied Technology Education Act; the Department of Labor is responsible for the Job Training Partnership Act; and the Department of Health and Human Services is responsible for the Immigration Reform and Control Act of 1986 and the Family Support Act of 1988.

Since New York administers both State and Federal programs, its organization of adult literacy programs directly reflects the Federal divisions. The New York State Education Department (SED) is responsible for Federal and State basic literacy skills and library literacy programs; the Labor Department and SED address adult literacy as part of their employment and training strategies; and the Department of Social Services (DSS) provides funding for adult literacy as part of immigrant and refugee services and welfare reform. In addition, the Department of Corrections manages the education programs in State correctional institutions. Because of this division of responsibilities among agencies, the administration of adult literacy programs often requires high levels of coordination. Such coordination is exemplified by the New York State Department of Social Services' agreement with the State Education Department to provide mandated English as a second language and citizenship education programs under the Immigration Reform and Control Act (IRCA).

Education for Gainful Employment (EDGE) is the most recent example of coordination between DSS and SED. EDGE, funded under the Jobs Opportunity and Basic Skills (JOBS) title of the Family Support Act, is jointly operated to provide basic skills training, English as a second language, and job training for public assistance recipients. This program recognizes the need for basic skills preparation as a necessary part of job training. In addition to educational services, EDGE also funds transitional support services such as case management and job placement. (A listing of the Federal, State and special literacy programs appears in Appendix B.)

The various State departments are committed to coordinating their efforts internally and in combination with local initiatives. Regular communication, joint planning, sharing of information and resources,

and combined programming promote efficient use of resources, minimize duplication, and result in services which are responsive to the needs of New York State adult learners. In order to accomplish this goal of coordinated services, government agencies need to develop mechanisms which allow for the smooth flow of funds and uninterrupted provision of services.

E. Interagency councils facilitate the development of literacy programs in New York State.

Interagency advisory councils and groups assist in the development and coordination of adult literacy education in New York State. A primary advisory group is the Commissioner of Education's Adult Learning Services (ALS) Council, and its expanded subcommittee, the State Literacy Council (SLC). With members representing a wide range of groups and institutions involved in adult education, such as literacy programs, business, industry, labor, and the media, these councils provide a broad perspective and advise the Commissioner on relevant issues affecting adult education. Since its inception in 1978, ALS has initiated and supported legislation affecting funding for adult programming; established guidelines for adult programs; researched controversial issues relevant to adult learning; and assisted in developing and promoting new initiatives for adults. (Resolutions from the New York State Literacy Convention of Learners and Practitioners, sponsored by the State Literacy Council, appear in Appendix C.)

In addition to ALS and SLC, the Council on Vocational Education (COVE) and the Job Training Partnership Council (JTPC) help with the coordination of adult literacy activities. Both of these councils have representatives from various State agencies that provide education services to adults along with representatives of the nongovernment agencies involved in these programs. State Education Department (SED) staff regularly attend meetings of both councils. On the JTPC, SED staff members carry recommendations of the council back to SED for action. COVE, on the other hand, makes its recommendations directly to the Board of Regents.

Intra-agency cooperation is achieved through membership on the above advisory councils as well as working cooperatively on specific programs. Examples of this cooperation include the ongoing cooperation with the Office of Library Development on library-sponsored literacy programs; the use of curricula developed for secondary occupational educa-

tion in adult education programs; permitting adult education programs to use computers purchased through Chapter 1 when not in use for Chapter 1 purposes; and the inclusion of family literacy education in Chapter 1 programs and in the Community Schools program.

F. New York State responds to the needs of its adults.

Through the State's coordinated planning teams and advisory councils, as well as with input from the local providers and students, priorities are determined for implementing special initiatives to address specific needs. The following examples illustrate the way some literacy concerns have been addressed:

- The public's requests for literacy program information brought about a statewide hotline system for referral of learners and volunteers which in 1990-91 alone received 13,161 calls.
- A companion public awareness and marketing campaign, "New York You Can Read," increased public awareness of the availability of programs.
- A model program providing home study, Giving Rural Adults a Study Program (GRASP), addressed the problems of people in isolated rural areas or in homebound situations.
- Job clubs were developed by SED and the Department of Labor to assist those seeking employment.
- Seventeen public library systems, with the help of Federal Library Services and Construction Act Title I funds, helped both children and parents enjoy reading. Preschool children were introduced to story hours, and parents and other care givers participated in tutoring or other programs which helped improve their reading skills and their ability to read with their children.
- Special initiatives, such as the Adult Centers for Comprehensive Education and Support Services (ACCESS), and Counseling, Assessment and Support Services for Education and Training sites (CASSET), were established to provide a full range of services primarily for public assistance recipients in a particular geographic area.

- The JTPC/SED project, Creating Career Pathways for New York's Youth, was jointly created by SED and JTPC to help 16- to 24-year-old New Yorkers cope with school-to-work transition problems.

Collectively, New York State's diverse programs and agencies use significant resources to provide a broad range of literacy options to approximately 200,000 people each year. While structures are in place for coordination and implementation of special programs, New York State continually improves its ability to address the new and expanding literacy needs of adult New Yorkers. However, New York faces many challenges in its efforts to reach the goal of universal literacy.

IV. THE CHALLENGES BEFORE US

A. New York State has not fully addressed the adult illiteracy problem.

The extent of adult illiteracy must be determined before it can be fully addressed. Estimates on the number of adults requiring literacy services are currently based on self-reported census information and on years of schooling, both of which are unreliable and inappropriate measures of literacy. To meet the needs of what appears to be a growing number of adults requiring literacy instruction, a more accurate and valid measure is necessary.

New York State's adult literacy system has been successful in responding to the literacy needs of many learners. In the last seven years, the amount of resources has increased (see Figure 2), and the number of people who have participated in programs across the State has also increased (see Figure 4). But problems remain: large numbers of youth are dropping out of high school; adults are losing jobs and requiring increased skills for newly created jobs; many immigrants are arriving who do not speak English; and changing technology is demanding different skills of workers. New York State must keep up with the escalating demand for literacy services or the State will fail to meet the literacy challenges of these changing times.

B. Agencies do not currently assign a high priority to adult literacy services.

The subordinate status of many adult literacy programs presents an additional challenge to New York State. Most of the educational institutions which are the primary providers of literacy services view adult literacy as ancillary to their mission. Elementary and secondary schools see the education of children as their central mission; colleges focus on educating students through degree programs; business and industry view production as their priority; and public

libraries vary in the priority they assign to helping adults increase their literacy skills. To reach New York State's goal of universal literacy, leaders in the public and private sector must highlight the critical role of literacy in a healthy society and economy. Adult literacy education should be recognized as vital to the continued prosperity of the country.

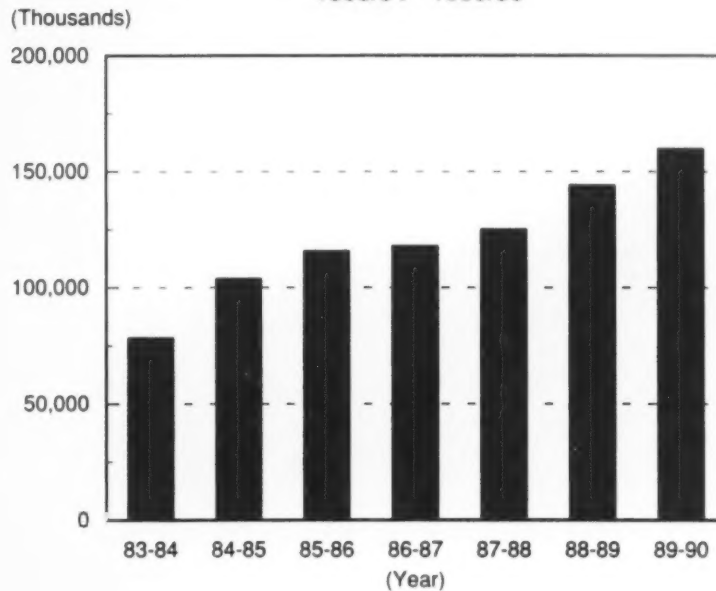
C. Currently there are numerous barriers to participation in adult literacy programs.

New York State is also being challenged to eliminate physical and programmatic barriers that discourage some adults from getting the literacy services they need. Even though New York State has over 500 adult literacy education programs, including multimedia and home-study alternatives, many New Yorkers who are interested in participating in literacy programs are not able to do so. While long waiting lists and excessive travel thwart the attempts of some to attend a literacy program, others find lack of affordable transportation or available child care services to be a deterrent. Adults with physical disabilities may find barriers to accessing the program's facility. Other adults are concerned for their safety when going out at night to attend evening classes.

About 4 years ago I was lookin' for a school program. But it was hard to find a program to help the handicapped and help out the people who can't read and write. So I tried a lot of programs and I couldn't find one that was fitted to my needs. So I let it go. (Angel Ruiz, "I Developed A Way Of Looking At People," Four Stories: Oral Histories From The Open Book, p.11.)

One obvious deterrent to finding literacy services is the unavailability of appropriate programs. Offerings of certain levels and types of instruction are limited as are times when instruction is offered. The waiting list for admission to free English language classes for adults in New York City alone currently includes over 15,000 names.

Figure 4
New York State Adult Literacy Enrollment
1983/84 - 1989/90



Year	Adults Served
1983-84.....	78,195
1984-85.....	103,635
1985-86.....	115,581
1986-87.....	117,815
1987-88.....	124,925
1988-89.....	143,889
1989-90.....	159,612

The totals in Figure 4 reflect activity in programs which receive grant funds from the New York State Education Department (NYSED) for program operation. Up to now programs which are supported by formula funding and/or fees have not been required to submit annual reports. Plans are presently under way to collect this information. As a

result of informal surveys of these programs, NYSED calculates that the total number served is actually higher than this graph indicates. For example, when enrollment in these additional programs is added to the 159,612 for 1989-90 shown in Figure 4, the total equals over 200,000 students.

Personal, social, and cultural barriers to program participation also exist. Early negative school and learning experiences leave many adults feeling alienated from school so that they do not see school as a place that could be valuable in their lives. Furthermore, some adults feel they have limited capacity or are inadequate and unworthy. Adult literacy programs face the challenge of showing these adults that they can learn, that they deserve an opportunity to learn, and that knowledge is valuable.

*When Dad got home he called me into his room. In Dad's hand was a walking cane. Dad told me to sit on the floor and say my times tables, but I could not say them so Dad hit me across the back with the cane and said, "one times two is two," and hit me again. This went on for a couple of hours until I made it all the way through the tables. I began to hate my father more and more everyday. Dad's teaching process went on for ten years like that and we never learned a thing from it. I began to hate book reading or anything to do with studying. (Elizabeth West, "Dad's Teaching," *Voices: New Writers for New Readers*, p.77.)*

Some individuals seek literacy services only if they feel they are immediately relevant to their needs and interests. Some beginning adult students become disillusioned when their lives are not instantly transformed; in fact, for many, literacy may be perceived as useless.

*I don't know why she [my mother] just decided that I had to go to work and that I didn't need to go to school. She said poor people will never make it to be a lawyer or to be a doctor or to be a scientist. Poor people will never get nowhere like that, not here in New York. They won't get that opportunity. The white people will not let us get so high. She said American people are not going to let us Puerto Ricans get that high. They will never let us get that high. They're always afraid that somebody else will come and take over from them. So you stay home and go to work like everybody else. So that's what I did. I decided I can't do anything about it. (Carmen Gonzalez, "Thirteen and Out Of School," *Four Stories: Oral Histories From The Open Book*, p.43.)*

Some barriers to participation may be eliminated through more student involvement in program development. Adult students have strengths and skills that they can contribute to literacy programs, but students need opportunities to develop their leadership abilities.

D. The quality of adult literacy programs is inconsistent.

From one end of the State to the other, the quality of literacy programs varies significantly. Because staff qualifications, curricula, materials, instructional strategies, and assessment procedures are different, there are no consistent statewide measures of program effectiveness. If New York State is to accomplish its goal of universal literacy, consistent program effectiveness must be assured through increased investment in professional staff development; development and statewide availability of new instructional strategies and techniques; and improved methods of student and program assessment.

Instructional quality is dependent upon the effectiveness of the teachers within each program. Adult literacy teachers' commitment and dedication are inspiring, but most of these professionals are paid hourly wages which are significantly below wages paid to elementary and secondary school teachers. Furthermore, most adult literacy teaching positions are part-time and lack fringe benefits. Adult literacy teachers are often forced to supplement their work with jobs which may pay full-time salaries or string

together a number of part-time positions in different agencies to earn a sufficient wage. This fragmentation may distract teachers and diminish the quality of services delivered.

I planned and taught a G.E.D. class at my local Y.W.C.A. What with time spent deciding what needed to be taught, relearning my own skills, and figuring out how to teach them to a room full of adults in ten short weeks, I estimate that I earned 25 cents an hour teaching that first class. However, 10 weeks later I eagerly signed up for another stint. The students had been gracious and enthusiastic; it was love.

Programs close and teachers are left to scurry about looking for employment. I never know how much work I will be offered next semester. I have never been able to find "full-time" work, even though I have pieced together a schedule that at times has me doing 21 hours of stand up teaching, not to mention preparation, paper marking, training sessions, student counseling, etc.

*I am having a great year, I am working at only one institution and even have my own class room for two of my three classes. The staff is composed of dedicated, inspirational professionals. As usual, my students are delightful. But always in the background is the voice of reason saying, "Maybe next year you should get a normal job." (Dorothy Provenzano, "A Voice From The Field," *From The Margins*, p.2.)*

Certification of public school adult education teachers in New York State, requiring knowledge and/or experience in instructing adults, would provide professional recognition and be an acknowledgment that teaching adults requires specific preparation. A comprehensive, statewide, staff development design is needed to ensure access to the appropriate staff development. Because adult education professionals often do not have the flexibility in their schedules to attend traditional classroom-based training programs, video programming and independent study should be available within this design. Adult education teachers seeking professional development should be provided with information about the assessment and distance learning opportunities available through Regents College. Local autonomy within the parameters of statewide direction should also be maintained to balance the need for locally based initiatives with that for statewide consistency.

Most programs don't have enough full-time staff people. It makes it difficult for programs to have a core of people to rethink and redesign programs, it makes it hard for teachers to stay in the field, it conveys to students a sense of instability about programs. (In an application for the Literacy Assistance Center's Aaron Diamond Foundation Fellowship.)

Appropriate instructional methods and materials are also critical to instructional quality. Effective teaching requires an understanding of varied learning traditions and styles. Too few teachers are exposed to appropriate instructional methods for adults because of the difficulty in offering staff development opportunities at convenient times and places.

The content of instruction is as important as the method. Instructional materials are most effective when they are framed within contexts that are appropriate to the adult students' needs and relevant to their interests and aspirations. For adults, many basic skills can be taught in the context of different occupations and subject areas. For this purpose, new adult basic skills curricula and materials need to be developed along with instructional strategies for simultaneously teaching basic skills and occupational education. Furthermore, curricula and materials need to be developed that reflect the expanded basic skills needed for the workplace, such as critical thinking, problem solving, and information management. Too few teachers are exposed to appropriate instructional methods for adults because resources to support teachers' participation in curriculum and staff development are inadequate, and often it is difficult to make these opportunities accessible to the busy adult educator.

Most teachers continue to use commercially produced materials; however, locally developed program materials, including collections of students' writings and occupation-specific reading and math lessons are becoming more available. Television, video cassettes, computer-assisted instruction, and interactive video are other valuable instructional resources. Although the State Education Department has initiated a system for reviewing computer software and providing assistance to literacy programs, computer-assisted instruction and telecommunication courses are still limited. The capacity for using instructional technology effectively in adult education needs further exploration.

Teachers often do not share the backgrounds and cultures of their students. The effect of any misunderstanding or insensitivity to the cultures of the learners may interfere with the teaching and learning process. Preparation of adult educators, therefore, needs to include preparation for teaching adults with diverse skills, characteristics, and backgrounds.

The role of student assessment within adult literacy programs is controversial. A test can cause anxiety for the test taker, be viewed as irrelevant by the teacher, and still influence the curriculum, program environment, student participation, and even program funding.

While standardized tests are being scrutinized because they do not necessarily assess what is being taught in the local instructional setting, especially where highly contextualized curricula are being used, most programs in New York State administer standardized tests and report the grade equivalent scores or language levels to their funders. Although standardized test scores may provide information about the overall accomplishments of a literacy program, they contribute little to developing an understanding of the impact and process of individual teaching and learning. Alternative assessment tools must be developed to determine student progress in literacy programs.

Assessment in adult literacy is a central issue with high stakes. The authority vested in these [standardized] tests can determine the way programs are developed, what is taught, and the climate of teaching and learning. It shapes legislation and the funding policies of public and private agencies. It is tied to welfare eligibility for young parents. It drives government job training programs. It can deny entry into the military, or crucial access to a diploma or a job. (Business Council for Effective Literacy, Inc., Standardized Tests: Their Use and Misuse, p.1.)

E. Program evaluations are not consistent.

Program evaluations beyond those mandated by Federal legislation are sporadic, and are often subjective and unrelated to program planning and development. Program administrators and teachers are seldom able to examine the effectiveness of their intake procedures, program schedules, and support services, or their ability to meet the individual goals of their students.

Meaningful assessment of student progress and appropriate formative and summative evaluations of program effectiveness are needed. These evaluations should be based on measurable indicators of students' accomplishing their individual learning goals and objectives. New legislation requires states to establish performance standards and collect information on compliance. The State Education Department is beginning to develop performance standards for adult literacy education, and needs to complete this task.

F. Funding for literacy programs is inadequate, often comes from noneducation agencies, and is categorical and targeted toward specific populations.

Current levels of funding, while significantly increased over the last decade, are still inadequate. Burgeoning demand, especially in the cities, means that people wait months before even being able to enter a program. In rural areas, adults may have to travel long distances for instruction. Although adult literacy education services have grown over the last seven years (see Figure 2), the demand is outpacing the system's capacity to respond. Much of the growth is in nonpublic agencies dependent upon limited funding tied to short-term legislation. For example, the Immigration Reform and Control Act of 1986 assisted community-based organizations to provide literacy services to certain immigrants. Unfortunately, when that funding ends, many of these needed programs will need to obtain new sources of support or close.

Much of the literacy funding for agencies other than public schools or BOCES is categorical. The short-term, unstable, fragmented nature of this funding often requires programs to be more responsive to the guidelines of funding sources than to the needs of the community.

Frequently, Federal and State legislation directs funds for literacy programs to agencies for whom education is ancillary. For example, legislation for labor and social services often includes provisions for adult education. Despite close articulation and cooperation among all of the involved agencies, unanticipated barriers often arise to interrupt service and, thus, prevent effective learning.

Comprehensive, long-term funding to enhance and expand the literacy service system would be consonant with the social and economic role played by literacy within New York State.

V. RECOMMENDATIONS

The following recommendations are designed to achieve universal literacy in New York State. Specific strategies for implementing each recommendation will need to be developed.

The recommendations are organized in the following five categories:

- A. Broadening public commitment to adult literacy and lifelong learning
- B. Defining the literacy needs of adults
- C. Increasing capacity, accessibility, and coordination of programs
- D. Strengthening the quality of adult literacy programs
- E. Improving systems of accountability

A. Broaden public commitment to adult literacy and lifelong learning.

Adult literacy and lifelong learning programs should be recognized as part of the comprehensive educational system within New York State.

- Adult literacy should be given a higher priority for funding and support by public and independent schools, libraries, museums, colleges, and universities across the State.
- Employers, labor unions, and community agencies should provide adult students with support and cooperation to continue their learning.
- New York State should work with its State Literacy Council and the private sector to develop and implement a comprehensive public awareness campaign. Financial support from the private sector for such a campaign should be obtained.

The general public should be made aware that lifelong learning is an essential element of our social structure.

- Business and industry, governmental, and educational leaders involved in adult literacy edu-

cation should make the public aware of the social and economic costs of adult illiteracy to New York State. A permanent, ongoing strategy to persuade the public and private sectors to accommodate adult literacy programs should be developed.

- The need for adult literacy and lifelong learning should become a major theme of Adult Learning Week, New York State's participation in the National Project Literacy U.S. (PLUS) campaign and any other similar promotional events.
- Efforts should be made to assure that the public is aware of the strengths and abilities of the literacy student. Adult students should be recognized as mature, motivated, and determined individuals who are able to participate in guiding program decisions.

B. Define the literacy needs of adults.

New York State requires comprehensive research and evaluation to determine the literacy needs of the adult population. Identifying these needs would contribute to effective planning to provide the appropriate services for adult learners in New York State.

- New York State should participate in the National Adult Literacy Survey conducted by the Educational Testing Service as a step in defining the State's needs.
- New York State should annually assess the extent to which its adult literacy programs are meeting the needs of its adults.
- New York State should sponsor research and evaluation designed to obtain a greater understanding of the appropriateness of instruction, the effectiveness of services, and the impact of participation in adult literacy programs.

C. Increase capacity, accessibility, and coordination of programs.

New York State should improve the learning opportunities for adult literacy students by better coordinating services and funding; by securing additional funds for increasing the number of programs available and the capacity of existing programs; and by supporting the development of innovative instructional models, including models which use work, home, and community responsibilities as the context for instruction in basic skills.

- Additional programs should be created to meet the special needs of various populations, such as programs for non-English speaking adults who are illiterate in their native language. Successful programs should be replicated and expanded.
- Regional planning models such as the New York City Adult Literacy Initiative and the New York City Alliance for Adult Education and Training (see Appendix B) should be established in every area of the State to coordinate literacy services statewide.
- The State Education Department should identify resources for developing instructional models which fully and simultaneously integrate occupational and life skills instruction with basic skills instruction.
- The State Education Department should take the lead in developing curricula for reading, mathematics, and English for speakers of other languages. In addition, curricula in occupational areas which are adult specific should be made available to adult literacy programs.
- A combination of incentives and accountability procedures should be installed to ensure that local programs work together to improve the quality and effectiveness of adult literacy education statewide.
- Mechanisms should be developed to reduce impediments and assure the smooth transfer of funds between agencies that are working on cooperative educational ventures. These impediments, which frequently result from legal negotiations, often obstruct the continuity of service and the flow of funds to local providers.
- More diverse, less categorical funding sources need to be identified and guaranteed on a statutory basis, available to any qualified provider, and granted on a multiyear basis.

Multiyear funding, such as three- or five-year grants for public education agencies and renewable contracts for community-based organizations, would provide continuity for programs and enable staff to concentrate on long-term goals by reducing the time spent on writing annual proposals.

- The private sector should be approached for bridge loans or the establishment of a revolving fund to assist community-based organizations in meeting their obligations when gaps occur in adult literacy funding.

Providers of literacy programs should assure that programs are relevant and appropriate to adult learners with diverse backgrounds and characteristics; accessible for people with disabilities; vigorously promoted to adults who need literacy services; and offered in convenient and safe locations.

- All adult literacy programs should develop collaborative relationships with local libraries and make the development of skills in library use a learning objective for all adult learners.
- All local and State correctional facilities throughout New York State should be encouraged to work more closely with the public library systems in their regions to better serve the literacy needs of their inmate populations.
- All adult education centers should be in compliance with mandates for accessibility for individuals with disabilities. Adequate support for these measures could be supplied by increased aid to adult education programs serving individuals with disabilities.
- Greater use should be made of physically accessible public facilities (rehabilitation centers, town halls, schools, libraries, churches, etc.), and the media.
- Innovative delivery systems should be developed to make adult literacy instruction available on demand. These delivery systems can include at-home instructional programs; instructional audiotapes and videotapes; computer-assisted instruction; cable TV offerings; and other applications of electronic technology.
- Adults should be made aware of the independent learning options available through the New York State External High School Diploma program.
- Efforts should be made to keep the literacy providers informed of appropriate instructional software and hardware currently available. This information should include evaluation of

material and research on applicable technologies. Funding to support the use of technology should also be made available.

- Teachers in literacy programs should be aware of the background and needs of their adult students and use culturally appropriate teaching strategies.
- Private industry should be encouraged to provide classroom space as well as literacy instructors.
- Sites for adult literacy programs should be comfortable and well-maintained, thus reinforcing the importance of the learning enterprise. For the fullest accessibility, program time frames should encompass day and evening hours as well as weekend hours.
- Former literacy program participants and community workers should be encouraged to serve in literacy programs as volunteers for peer counseling and other support services.
- Employers should be encouraged to grant release time to employees for enrollment in literacy classes or other forms of literacy instruction.

D. Strengthen the quality of adult literacy programs.

Adult literacy educators should be required to meet professional standards of preparation and performance and should be provided with the resources and support necessary to accomplish this.

- All adult literacy program staff should be provided with the resources and support necessary to provide effective literacy services, including staff development.
- Postsecondary institutions, teacher unions, education associations, adult learners, and the State Education Department should cooperate to define the skills and behaviors needed to teach adults. These skills and behaviors should be reflected in certification requirements for all public school adult education teachers in New York State. These entry standards should acknowledge the value of a teaching staff with various types of preparation while also ensuring that all adult education teachers acquire the knowledge, skills, and behaviors necessary for teaching adults with a variety of skills, charac-

teristics, and backgrounds and for promoting student leadership. In addition, staff development should be done in cooperation with the field so that local needs are met.

Adult literacy teachers, with comparable preparation, should have the opportunity to secure full-time permanent positions with salaries that are commensurate with elementary and secondary teachers.

- The State Education Department should support full-time opportunities as it continues its development of comprehensive adult centers in the State.

Comprehensive staff development programs should be made available to all adult education practitioners statewide regardless of their institutional affiliation.

- These programs should model the best methods and materials available in the area of adult education.
- Resources for curriculum development and research should be available to produce new multicultural audiovisual and computer-based materials, as well as teaching methods to help adult literacy providers accomplish their goals.
- At least 10 percent of any increase in State funding (Welfare Education Program, Adult Literacy Education Program, Workplace Literacy Program) should be set aside for staff development.
- Appropriate curricula, instructional strategies, and teaching materials should be available to adult literacy teachers.

The State Education Department should support the development of more effective assessment instruments to measure the learning outcomes of all adult literacy programs.

- The development and use of multiple types of assessment should be encouraged among all literacy providers. Such assessment techniques should include standardized tests, portfolio review, peer assessment, internships, and other oral and written demonstrations of knowledge.
- Instructional objectives should guide the development of assessment techniques to measure cognitive, applied, affective, and process skills.
- The classroom instructor should be able to determine the most beneficial type and frequency of assessments of their students' achievements.

E. Improve systems of accountability.

Program evaluations aimed at program accountability should be developed and technical assistance in program evaluation should be provided to the various adult literacy providers across the State.

- The State Education Department should review models of evaluation recently made available to states by the United States Department of Education and, in developing its own performance standards, consider both these models and students' learning goals and objectives.
- The results of all major research and evaluation efforts should be shared as widely as possible within the adult literacy education community.

The State Education Department should work with other experts in the field to establish appropriate, measurable performance standards for adult literacy programs.

- The Department should work closely with the national panel authorized in the National Literacy Act of 1991.

- Frequent communication should be maintained, enabling State and Federal agencies to work cooperatively on joint literacy projects.
- Literacy learners and practitioners should be given a voice in issues regarding literacy curricula and practices including the development of measurable goals and performance standards.

Adult literacy programs should provide learner-centered instruction, learner support systems and opportunities to promote student leadership and to involve learners in all elements of the program.

In order to accomplish this recommended plan, the State Education Department proposes developing a specific action plan which includes a timetable, cost estimates, and staff assignments to accomplish these recommendations.

APPENDIX A

PLANNING COMMITTEE FOR THE NEW YORK STATE ADULT LITERACY PLAN

Regents of the University of The State of New York*

Laura Bradley Chodos, Regent

Floyd S. Linton, Regent

Other Planning Committee Members

Judy Alladice
New York City Board of Education
Brooklyn, NY

Lilliam Barrios-Paoli
New York City Partnership
New York, NY

Reinaldo Cardona
New York State Department of Social Services
Albany, NY

Dr. Suzanne C. Carothers
The City College of The City University of New York
New York, NY

John Casey
Mayor's Office of Adult Literacy
New York, NY

Paul Cole
New York State AFL-CIO
Albany, NY

Jacqueline Cook
Literacy Network
Brooklyn, NY

Johanna Duncan-Poitier
State Education Department, Office of Vocational and Educational Services
for Individuals with Disabilities
Albany, NY

John Harr
ABC TV - PLUS Campaign
New York, NY

Fern Yhan
Bank Street School of Education
New York, NY

Judy McGaughey
Fiorello H. LaGuardia Community College
Long Island City, NY

Andrew Morzello
Rochambeau School
White Plains, NY

Leona Salzman
Clinton-Essex-Franklin Library System
Plattsburgh, NY

Aaron Schaeffer
Nassau BOCES
Carle Place, NY

Carol Sheffer
State Education Department
New York State Library
Albany, NY

Kevin Smith
Literacy Volunteers of New York State
Cheektowaga, NY

Gail Spangenberg
Business Council for Effective Literacy Inc.
New York, NY

John Twomey
New York Association for Training Employment Professionals
Albany, NY

Frank Vullo
Eastman Kodak
Rochester, NY

Dr. Sean Walmsley
State University of New York at Albany
Albany, NY

** The New York State Adult Literacy Plan was initiated by the Regents Committee on Higher and Continuing Education under the chairmanship of Regent Jorge L. Batista. Planning Committee leadership was provided by Regent Laura Bradley Chodos and Regent Floyd S. Linton.*

APPENDIX B

FEDERAL, STATE, AND SPECIAL LITERACY PROGRAMS IN NEW YORK STATE

New York State Programs

New York State administers both State and Federally funded programs. Federal literacy programs are administered by a variety of Federal agencies. The State's administration of literacy programs directly reflects the Federal fragmentation. The New York State Education Department (SED) is responsible for Federal basic skills programs; the Labor Department and SED address literacy as part of employment and training strategies; and the Department of Social Services addresses literacy as part of welfare reform. The following is a list of major Federal and State programs.

Ongoing Federally Funded Programs

Adult Education Act provides instruction in basic skills, life skills, and English to out-of-school youth and adults whose skills are not at the high school graduate level or who have limited proficiency in English.

Consumer and Homemaker Education Program provides life management skills instruction to educationally and economically disadvantaged adults and out-of-school youth by offering instruction in interpersonal relationships, family management, consumer problem solving, and decision making. A priority of the program has been to increase learner time-on-task and to provide instruction that results in a change in learner behavior.

Job Training Partnership Act Direct Services Allocation increases the coordination of services provided by educational agencies and institutions to eligible JTPA participants. Basic skills instruction in reading, writing, computation, computer literacy, and English, as well as structured transition-to-work experiences, are

provided. The program seeks to relate instruction to firm-specific training to create targeted job opportunities for disadvantaged persons. Firm-specific programs have shown themselves to be strong linkages in creating public-private partnerships.

Library Services and Construction Act, Title I, promotes adult literacy efforts by involving libraries in both a coordinating role and as direct-service providers. Public libraries are assisted in improving and extending services. Specific literacy projects include tutorial programs (both personal and computerized) and purchase of special materials.

Library Services and Construction Act, Title VI, assists libraries in coordinating and planning library projects and training librarians and volunteers to carry out these projects. Activities such as the following are supported: administering library literacy projects; recruiting and promoting the use of volunteers; training tutors; purchasing materials; and using library facilities for literacy projects.

State Legalization Impact Assistance Grants provide certain aliens with instruction in English as a second language and citizenship. Sixty-hour English as a second language and citizenship courses are supported, in addition to any service allowed under the Adult Education Act, for Eligible Legalized Aliens (ELAs) granted amnesty under the Federal Immigration Reform and Control Act (IRCA) of 1986. These individuals are required to complete, within 30 months, a minimum educational requirement in order to obtain permanent resident status. After satisfactory completion of at least 40 hours of the 60-hour program, they receive a certificate of satisfactory pursuit from the educational institution.

Stewart B. McKinney Act for the Homeless provides education to prepare homeless adults for employment by supporting outreach and direct instructional services

to improve basic skills in reading, mathematics, and language; GED examination preparation; English as a second language instruction; and life skills development.

The following is a list of federally funded programs with literacy as an allowable activity:

Comprehensive Employment and Opportunity Support Centers provide comprehensive employment training and support services in one location in order to enable recipients of Aid to Families with Dependent Children, with children under the age of six, to become self-sufficient. Education services include preparation for the GED examination, English as a second language classes, vocational training, job search assistance, work experience, and on-site child care. This program is administered by the New York State Department of Social Services.

Even Start provides simultaneous educational services to disadvantaged children and their parents. Local educational agencies that have collaborated with appropriate nonprofit organizations are eligible for Federal grants to provide family-centered education projects to help parents in the education of their children, to assist children in reaching their full potential as learners, and to provide literacy training for their parents. Eligible participants are children ages one through seven who reside in an elementary school attendance area designated for participation in the Chapter I basic program and their parents who are eligible for participation in an adult education program under the Adult Education Act. Even Start programs are designed to bring about intergenerational learning. Existing programs provide opportunities for parents and children to participate together in both academic and recreational activities. Even start is slated to become a federally funded, State-administered program in July 1992.

Incentive Grants for Sharing Successful Programs disseminate information on exemplary, validated programs and provide competitive grants for the initial costs of replicating such programs. Validated programs exist for a wide range of program areas, including literacy. This program is administered by the State Education Department's Office of School and Community Services.

Current New York State Funded Programs

Adult Literacy Education (ALE) establishes educational programs for economically and educationally disadvantaged adults providing adult basic education, GED examination preparation, and instruction in English as a second language and life skills.

Employment Preparation Education (EPE) provides instruction for adults who have not obtained a high school credential. Types of instruction include adult basic education; English as a second language; high school equivalency; life skills; job clubs; external high-school-diploma preparation; as well as regular high school classes that are credit-bearing and secondary-level occupational courses.

Community Schools Program seeks to improve student outcomes by providing children and their families with access to a comprehensive set of educational, health, nutritional, and other support services. The program's emphasis on family, school, student outcomes, and community partnerships makes it one of the centerpieces of the Board of Regents' continuing efforts to improve educational outcomes for all students. The program serves as a model for implementing many of the educational reforms envisioned in the *New Compact for Learning*.

Incarcerated Youth Program provides for the education of youth in county jails by offering a range of educational services to incarcerated youth: adult basic education; high school equivalency preparation; tutoring for regular high school courses; English as a second language; career exploration; occupational education; life skills; and family living.

High School Equivalency Programs (and Pre-High School Equivalency for 16- to 20-year-olds) provides preparation for the high school equivalency diploma examination through two programs: (1) Alternative High School Equivalency Preparation Program which provides preparation for the high school equivalency examination and other instructional activities (such as general academic education, occupational education, general academic work experience, etc.), as well as counseling and support services; and (2) High School Equivalency Preparation Program which focuses on basic education, preparation for the high school equivalency examination, and instruction in English as a second language. Students with other instructional needs (such as bilingual instruction and occupational education) are also provided the appropriate instruction.

State High School Equivalency Testing Program enables individuals who have not completed a formal program leading to graduation from high school to earn a high school equivalency diploma by providing opportunities for them to take General Educational Development (GED) tests.

Welfare Education Program (WEP) and the *Workplace Literacy Program* provide occupation-related literacy and basic skills instruction to individuals whose present levels of literacy or language skills constitute a barrier to continued employment or to promotion by offering a range of educational programs: adult basic education and English as a second language instruction; GED examination preparation; and instruction geared to 12th grade level subject matter beyond high school equivalency preparation.

Youth Work Skills Program assists youth in improving their basic educational skills, employability, and job-seeking capabilities by providing a sequenced, structured program comprised of vocational and career exploration and basic educational skills training; and transitional activities such as preparation for independent educational or employment experiences. Counseling, advocacy, life skills training, and remediation are provided as part of each phase of the sequenced program. This program is administered by the New York State Department of Labor.

Education for Gainful Employment (EDGE) is the educational component of the 1988 Federal Family Support Act's Job Opportunities and Basic Skills (JOBS) program for recipients of Aid to Families with Dependent Children (AFDC). EDGE provides educational services and programs including literacy, basic education, GED test preparation, English as a second language, occupational training programs, assessment and case management. Programs are delivered through a diversified system of school districts, Boards Of Cooperative Educational Services (BOCES), community colleges, education opportunity centers (EOCs), community-based organizations (CBOs), service delivery areas (SDAs), literacy volunteers and libraries. EDGE is a joint effort between the State Education Department and the State Department of Social Services.

The following is a list of State programs in which the primary focus is not literacy but for which literacy is an allowable activity:

Adolescent Vocational Exploration Program provides youth with meaningful work experiences, increases their motivation to assume early responsibility for career planning and preparation, and fosters positive attitudes for the "world of work," by providing youth with summer and fall programs to assist them to define and clarify career and educational goals, thereby enhancing their future employability. The summer program consists of classroom instruction in career skills, life skills and basic skills, and career exploration activities as well as individual and group counseling; a student stipend is also included. The fall program, conducted after school and on Saturdays, focuses on remediation and continued vocational exploration. This program is administered by the New York State Department of Labor.

School-to-Employment Program encourages youth to remain in school by providing a stipend for part-time work experience and on-the-job training and increases the employment readiness and basic skills of youth who have dropped out of school. In addition to work experience and on-the-job training, the Program provides counseling, job placement, and educational activities, including remediation, GED examination preparation, and basic skills instruction. There are two components of the School-to-Employment Program: an in-school component for youth at risk of dropping out of school; and an out-of-school component for youth who have already dropped out of school. This program is administered by the New York State Department of Labor.

Structured Educational Support Program provides educational, vocational, and personal support services to students in need of improving basic educational skills, vocational and career direction, and work maturity by offering structured educational, vocational, and personal development activities at centrally located community sites during after-school hours, weekends, and school holidays. During the school year, each participant is paid the hourly minimum wage for these programmed classroom activities. In addition to classroom instruction, career exploration is encouraged through group activities, guest speakers, field trips, and individualized employment exploration. This program is administered by the New York State Department of Labor.

Special Initiatives

In an effort to respond to the educational needs of the varied adult student populations in New York, the New York State Education Department has undertaken several special initiatives:

ACCESS/CASSET initiative involves a commitment by the State Education Department and the Department of Social Services to develop a more complete array of services to prepare adults, particularly public assistance recipients, for employment and self-sufficiency.

ACCESS (Adult Centers for Comprehensive Education and Support Services) are centers which operate in school districts, BOCES, and community colleges around the State. A full-service *ACCESS* center is open morning through evening six days a week and provides a wide range of services at one central location. Central intake, record-keeping, assessment, and career services assure ease of access to various program components. Although the full range of programs provided by an *ACCESS* Center varies from site to site, each center has a core of programs provided for the education, training, and retraining of adults. Core educational programs include basic education; English as a Second Language; GED test preparation; nondegree adult occupational training in areas of labor market need (with special emphasis on state-of-the-art programs and nontraditional fields); life skills instruction — parenting, health and nutrition; employability skills instruction — interview and job readiness skills; and customized or employer-specific short-term training for business and industry. At the heart of an *ACCESS* center are five basic support services:

1. Full-time case-management counseling — This counseling customizes education, training, and job placement for each adult by considering special needs, interests, and goals.
2. Comprehensive educational assessment and career development services for adults with diverse skills, characteristics, and backgrounds. Special emphasis is placed on integrating assessment with instruction and career development programs.
3. Job development and placement — This component provides a full continuum of services at the center such as job clubs, job shadowing, and referral to on-the-job training.
4. On-site child care — This component provides child care services to enable parents with young children to participate in educational programs while enabling centers to provide parent education and family literacy programs.

5. Other support services — Possible other components can be referrals for additional required services, specialized counseling for alcohol or drug dependency, housing assistance, cafeteria facilities, etc.

Ancillary programs and services are also available at individual *ACCESS* centers. Currently, 14 *ACCESS* centers are operating in New York State.

CASSET (Counseling, Assessment, and Support Services for Education and Training) is designed to expand the range of education and training programs and support services available to adult students in a particular geographic area. Instead of having all services in one location, especially in less populous areas where the *ACCESS* mode of delivery may be inappropriate, a *CASSET* site networks with other educational agencies and service providers in order to provide educational and occupational training and support services similar to those offered by an *ACCESS* center. Like the *ACCESS* centers, component services at a *CASSET* site include case management; comprehensive educational assessment and counseling; on-site child care and transportation; parent education; and family literacy.

Currently, there are 34 *CASSET* sites throughout New York State.

Workplace Literacy Program—Fundamental changes in workplace technology, products, and processes are occurring which require not only a solid base of traditional skills but a mastery of new and different ones. In the United States, 70 percent of the reading material used in most jobs is written at the ninth- to twelfth-grade level, but approximately 40 percent of New York State's work force is reading below a ninth-grade level. In addition, current projections estimate that the average new job will require 13-plus years of education. To help unions and employers prepare today's workers for the ever changing needs of the workplace, the New York State Education Department established the *Workplace Literacy Program* in 1987. This program makes available \$2 million in funding annually to labor organizations, their federations, or organizations of employers acting in a consortium with labor organizations to expand literacy opportunities for union members and other workers, and to establish job-related and basic skills education. Regional Education Centers coordinate the development of workplace literacy projects with unions, companies, and education agencies. The Regional Education Centers match workplace training needs, including literacy, with instructional resources in the education community. Components of workplace literacy programs include developing reading, writing, and com-

putational/mathematical skills to an appropriate level and enhancing personal and occupational skills through classes in English as a second language; computer literacy as needed for robotics or for numerically controlled processing (statistical process control); blueprint reading; communications skills (i.e., report writing, listening and speaking effectively); critical thinking, and problem solving; goal setting; and team building.

The New York City Adult Literacy Initiative is a New York City/State collaboration that brings together the four primary literacy delivery systems in New York City which serve over 50,000 adult learners annually. New York City's Board of Education, City University, Community Development Agency (which oversees 40 CBOs), and three public library systems provide free adult education to diverse populations throughout the metropolitan New York area. Under a memorandum of understanding signed in 1984, the Mayor of New York City, the Governor, and the Chairman of the Municipal Assistance Corporation (MAC) agreed to allocate MAC funds for the expansion and improvement of basic literacy education and English as a second language for adults or older youth. Supporting this initiative are EPE, AEA and local MAC funds that are administered collaboratively by the NYSED and the NYC Mayor's Office of Educational Services.

Alliance (New York City/State Alliance for Adult Education and Training) was formed to facilitate education and training programs in New York City. The 11 State and City agencies that comprise the Alliance have jointly developed a common vision and set of goals for creating a comprehensive and coordinated adult education and training system in New York City. Overall, the Alliance serves as a framework to enable agencies to take multiple delivery systems and funding sources and operate with a central mission of meeting the needs, interests, and goals of the adults it serves. The goals and the planning process have already served as the basis for a number of initiatives, which include creating a Citywide program to address the growing shortage of health care workers, implementing the EDGE program, and developing a New York City research agenda.

Additional Efforts to Support Literacy in New York State

The Adult Learning Services (ALS) Advisory Council was established in 1978 to advise the Commissioner on issues affecting adult education. Over the years, the membership of the Council has included representatives from private and public two- and four-year post-secondary institutions, public schools, BOCES, community-based organizations, libraries, museums, business, industry, labor, and the media. The Council has initiated and supported legislation affecting funding for adult programming; established guidelines for adult programs; researched controversial issues surrounding adult learning; and assisted the Office of Continuing Education in developing and promoting appropriate initiatives for adults. The Council has a subcommittee structure: in 1985, its literacy subcommittee was designated as the **New York State Literacy Council**. The Literacy Council has been very active in developing and supporting activities and initiatives which will lead to an increase in literacy among New York State adults. The Council actively includes literacy teachers and students in its work.

"New York You Can Read" is New York State's adult literacy initiative designed to raise public awareness and to market adult literacy programs. Funded by the Office of Continuing Education, "New York You Can Read" works in coordination with Project Literacy U.S.(PLUS), a national joint effort of two television networks, ABC and PBS, to focus the nation's attention on the persistent social and educational problem of adult illiteracy.

New York State Literacy Hotline and New York City Literacy Assistance Center Referral Hotline are telephone referral services that provide literacy information to thousands of adult learners and literacy volunteers free of charge. The New York State Literacy Hotline (1-800-331-0931) is an outgrowth of the "New York You Can Read" initiative. The New York City Literacy Hotline number is: (212) 267-6000.

GED on Television is the high school equivalency program that combines a series of videotaped lessons and print materials with direct services, including student recruitment, screening, telephone tutoring, and/or classes to assist adult students in preparing for the GED examination.

Structure of the Office of Continuing Education (OCE) - The mission of OCE is to improve the quality of the lives of New York's adults and the skills of its work force through education. It is comprised of two divisions and six bureaus. The functions and activities of

this Office are centrally administered and coordinated by the Office of the Assistant Commissioner which not only sets the direction for the development of policy and programs, but also advocates for continuing education funding at both the State and Federal levels. Within OCE, the Division of Continuing Education Planning and Development is responsible for the strategic planning and program improvement needed to ensure the quality and effectiveness of all adult education programs administered by the Office. The other division, the Division of Continuing Education Programs, provides support to the field for the development and operation of continuing education and work force development programs in education agencies.

Coordination - OCE has developed linkages with various agencies and organizations in its efforts to improve the delivery of education services to adults through the following mechanisms: joint planning; a network of funding committees, interagency advisory councils and groups, and interagency proposal review committees; and the sharing of information and resources with the Departments of Social Services, Labor, Economic Development, Corrections, and Health, and with the Division of Alcoholism and Alcohol Abuse, the Division of Substance Abuse Services, the Office for the Aging, and the Job Training Partnership Council. OCE also coordinates activities and programs with other agencies and associations such as the Public Library System, the New York City Literacy Initiative, and the New York State Association of Training and Employment Professionals to promote a responsive and efficient literacy system.

APPENDIX C

NEW YORK STATE LITERACY CONVENTION RESOLUTIONS

In February 1989, the State Literacy Council and the New York State Education Department, under the direction of the Bureau of Adult and Continuing Education Program Development and funded by a Gannett Foundation grant, convened the New York State Literacy Convention. The purpose of this convention was to articulate the major issues facing adult literacy education in New York State. This was accomplished through the presentation of resolutions by adult literacy educators and students throughout New York State. The resolutions are based on the recommendations developed in 13 regional literacy caucuses and reflect the consensus of the delegates at the State Convention. The delegates, representing over 1000 teachers, tutors, and learners who participated in the regional caucuses, voted to adopt the resolutions listed below.

TEACHER/TUTOR RESOLUTIONS

Be it resolved that funding should be made available to adult education programs to actively involve teachers and students, through State and local literacy caucuses, in decision making in all phases of the programs.

Be it resolved that professional adult educators be recognized as members of a field that merit equal professional status, pay, and benefits as afforded to all professional educators in the State of New York.

Be it resolved that volunteer literacy programs are a vital part of the adult education network and, as such, should have access to state resources both human and financial.

Be it resolved that a consortium of volunteer and professional adult educators be formed to promote cooperation, rather than competition, among the various providers of adult education through the sharing of teaching methods and materials and the exchange of staff and students, when appropriate.

Be it resolved that funding be made available for the purpose of equipment and instructional and consumable materials to fully serve the individual needs of adult learners.

Be it resolved that the Legislature immediately appropriate adequate funds for the research and development of assessment tools, which can be used to evaluate accurately the real progress of adult learners who read at or below the grade five level; to evaluate accurately the real progress of students with limited English proficiency; and to identify students with special learning needs.

Be it resolved that the Legislature immediately appropriate funds to provide increased services to adult learners in areas where programs and facilities are at capacity.

Be it resolved that the Legislature appropriate funds to conduct a statewide campaign to heighten public awareness of the successful systems already in place which serve the lifelong learning needs of adults, using a slogan such as "Adult Education: Another Chance at Life."

Be it resolved that, in order to increase productivity and enhance the quality of the work force, employers should be offered incentives to utilize the services of adult and vocational education programs.

Be it resolved that the Legislature appropriate funds to provide an advocacy network for adult learners which would establish a communication link between adult learners and human service providers and resources. The network would seek to overcome barriers to learning by encouraging more accessible facilities, providing child care, transportation, housing, or legal assistance and making it possible for potential learners to attend classes during the work day.

STUDENT RESOLUTIONS

Be it resolved that funding should be made available for literacy programs and materials used for testing, instruction and evaluation, and for out-of-pocket expenses for tutors.

Be it resolved that year-round, free, literacy, writing skills, occupational training, and English as a second language instruction be publicized and made available to all adults who reside in New York State. The number of programs should be expanded to ensure that all adults have the opportunity to go to school, including those persons institutionalized in county jails, drug and alcohol rehabilitation facilities, mental health facilities, and nursing homes.

Be it resolved that funding should be made available to provide comprehensive programs for learning disabled adults and to conduct research on how they learn. Public Law 504, which stipulates the provision of services for learning disabled adults, should be publicized.

Be it resolved that day care and child care services be provided for all adult students who need them.

Be it resolved that adequate funding be provided for free or reasonably priced transportation for adults attending literacy or training programs and pursuing job opportunities.

Be it resolved that adequate and accessible facilities be provided for all adult education programs.

Be it resolved that management and unions need to be more involved in the workplace as advocates for literacy by providing instruction that will enable workers to develop better skills.

Be it resolved that the label "illiterate" be changed to "adult learner" or "adult new reader."

Be it resolved that instructional literacy programs should be developed using radio, television, videotapes, and newspapers.

Be it resolved that all adult programs should have:

- adequately prepared members of the teaching profession and well-trained tutors;
- counselors who can guide each person to the best programs for that person (such as career and life skills education);
- organized peer tutoring and peer counseling programs; and
- countywide student councils to promote linkages among students.

APPENDIX D

PROPOSED LEGISLATIVE INITIATIVES

In order to accomplish some of the recommendations contained in this plan, the State Education Department developed the Omnibus Literacy and Work force Development Bill, which contains a series of legislative strategies. This legislation would amend the Education Law to increase the capacity of, increase access to, and improve the quality of adult literacy programs which are provided by public schools, Boards of Cooperative Educational Services (BOCES), institutions of higher education, regional education centers, community-based organizations, libraries, unions, and volunteer literacy agencies.

The following information contains the recommendations which address the broad issues related to achieving universal literacy and outline the legislative strategies necessary to accomplish them.

1. **New York should increase opportunities available for adult literacy students by both increasing the number of programs available and the capacity of existing programs.**

Several measures need to be taken to satisfy this recommendation.

- a. *Unit of Service Funding*

The capacity-building legislative strategies include establishing a "unit of service" aid for community-based organizations, colleges, libraries, unions, and volunteer agencies. "Unit of service" is a contact-hour reimbursable aid paid for literacy instruction, including adult basic education, General Education Development (GED) Test Preparation, English as a second language, and life skills programs.

This reimbursement would be set at a level less than cost and would provide an incentive for local agencies to search out matching dollars from local and private sources, thereby expanding the capacity of the entire system. The funding level for this purpose would be established yearly, and each approved agency would be assigned a maximum reimburse-

ment amount. Contact hours beyond the maximum would not be reimbursed. These funds could be used to serve any adult who requested literacy instruction, whether or not the adult had previously earned a high school diploma or a high school equivalency diploma. Initial year "unit of service" funding would be \$10,000,000.

Library Literacy Support Services

Libraries and library systems play an important role in supporting literacy instruction in New York State. Libraries make available relevant materials for new readers, opportunities for computer-assisted instruction, and space and logistical support for tutors. Libraries connect with classroom-based literacy programs to both support and extend classroom reading experiences. They also publicize and provide information about literacy programs operated by school districts, BOCES, community-based organizations, postsecondary institutions, and other agencies. This component would support the purchase of instructional and reading materials, instructional hardware and software, and staff necessary to conduct library-based literacy programs.

In order to bolster and extend these vital services, five percent of the monies for "unit of service" funding should be designated for grants to public libraries. Initial year funding would be \$500,000, five percent of the total funding level.

- b. *Services to High School Graduates*

Another capacity-expanding measure would be to establish a unit of service appointment to enable school districts and BOCES to provide literacy services to adults who request literacy services and who already have a high school diploma or high school equivalency diploma. School districts and BOCES would be approved to offer educational programs to these adults. This unit of service would be in

addition to the "unit of service" for agencies other than school districts and BOCES. Initial year funding of this item would be \$4,000,000.

c. *Expanded Services for Persons with Limited Proficiency in English*

Capacity would be expanded by amending the EPE legislation to permit adults with limited proficiency in English who have a high school diploma from a territory or country in which the native language used in the schools was other than English to be treated as if they did not have a high school diploma. The State would benefit by having more workers born outside the United States qualify for jobs which are similar to those that they held in their countries of origin. Initial year funding of this item would be \$500,000.

d. *Incarcerated Youth Funding and Program Year*

An additional legislative response to the comprehensive literacy plan's recommendation that capacity be expanded relates to the Incarcerated Youth Program operated by public schools or BOCES in the approximately 60 county and municipal jails and penitentiaries. Fewer than 10 percent of the participants in this program are expected to return to regular high school upon release from the institutions. Consequently, most are instructed as if they were adults; many of the jails combine their EPE-funded adult programs with their Incarcerated Youth Programs in order to share resources and facilities.

At present, Incarcerated Youth Programs are funded as if they were elementary schools. The programs do not receive the 25 percent weighting provided for almost all other high school level instruction in the public schools and BOCES. Yet, the high turnover rates in the jails and penitentiaries very often result in smaller classes than would be found in a typical school. Funding is barely adequate; many schools have to divert funds from regular activities to maintain an adequate instructional program. The Incarcerated Youth legislation should be amended to fund these programs at the secondary school level by increasing the weighting from 1.0 to 1.25. The operating year of the Incarcerated Youth Program should also be lengthened to take in the 10 weeks of the summer months. The terms of incarcerated youth often overlap this period. If programs are closed during the summer, youth are denied instruction during

the beginning of their incarceration or have their instruction interrupted during their term in the institution. Often, students are within a few weeks of qualifying for the GED when instruction stops, and then their terms are over before instruction begins again. After leaving the facility, they are not likely to avail themselves of an instructional program especially since the counselors who might make connections with outside programs are also not on duty during the summer. Initial year funding for this item would be \$3,000,000.

e. *Video Production and the Use of Video Resources to Support Literacy Instruction*

Another capacity-building approach is to expand the use of video resources and to undertake new video production to support literacy instruction. Given the high effectiveness of video technology in the classroom, three phases for expanding the use of videos are proposed. The first phase proposes to purchase the rights to literacy instructional video materials to enable libraries to lend these materials to adult education programs. The second phase would focus on increasing the level of interactivity of literacy instructional technology through the use of student-response keypads. The third phase would focus on the production of literacy instructional materials. Topics would include English as a second language programs for health occupational training, life management, parenting, family literacy, writing and math, and job preparation. In addition, broadcast and cable time would be purchased for public dissemination of all materials. This strategy would provide funding on a dollar-for-dollar matching basis. Initial year funding for this item would be \$950,000.

f. *ACCESS Centers and CASSET Sites*

A final capacity-building strategy is for funds to support Adult Centers for Counseling, Education and Support Services (ACCESS) and Counseling, Assessment, and Support Services for Education and Training (CASSET) Sites. The ACCESS and CASSET initiative provides comprehensive education and support services to adults and has been successful in addressing the multiple needs of the disadvantaged. Funding is proposed to ensure that all adults in New York State have the opportunity to participate in programs available in ACCESS Sites or CASSET Centers. Initial year funding for this item would be \$2,500,000.

g. *Increase Support for Employer Specific Skills Training Grant Programs*

Employer Specific Skills Training Grant Program (ESSTG), now in its eighth year of funding, has awarded \$32 million to education agencies to provide firm-specific training to over 152,000 workers. ESSTG is implemented by 10 Regional Education Centers for Economic Development. Through these Centers, the Education Department works with local businesses, economic developers, chambers of commerce, and education agencies to design customized training programs for new or expanding businesses in New York State. The average cost per participant in ESSTG programs was less than \$200. In program year 1990, 494 projects served 3,775 companies with 32,217 trainees. The results of the ESSTG program include increased productivity and quality, reduced absenteeism, and increased sales, earnings, and profits. Additionally, ESSTG projects have reported economic expansion, business growth, and the retention of quality jobs for New York State residents. To improve the efficiency of State and Federal funds, ESSTG is combined with money from the Carl D. Perkins Vocation and Applied Technology and Education Act (VATEA) and the Job Training Partnership Act Title IIA and Title III. Additional support will enable the expansion of this program's capacity to continue to respond to new work force priorities for the development and maintenance of a competitive work force in New York. Additional funding for ESSTG would be \$655,700.

h. *Increase the Support for the Apprenticeship Related Training Program*

Apprenticeship related training is provided to develop a relatively mobile, highly skilled work force possessing skills consistent with prescribed activities for each specific trade. Related instruction offers classroom or laboratory instruction in trade theory as it relates to tools, math, science, industrial and labor relations, and safety, thus offering industry workers who can operate both effectively and safely. The classroom related instruction has allowed the program to expand significantly over the past several years, especially in providing services to women and minorities. Expanded capacity will enable this program to serve and prepare a greater number of students for work. Additional funding for

Apprenticeship would be \$236,500.

i. *Increase support for Workplace Literacy Programs*

The Workplace Literacy Program provides expanded literacy opportunities for employees and union members as well as encourages the establishment of job-related literacy and basic skills education. The labor force is growing more slowly than at any time since the 1930s while new jobs require a higher level of education than at any time in the past. Workplace literacy programs provide the opportunity for employees to upgrade their skills and in doing so enables the business to function more effectively and efficiently. Additional funding for Workplace Literacy Programs would be \$146,250.

j. *Increase Support for Adult Literacy and Basic Education Programs*

Adult Literacy and Basic Education, also referred to as Welfare Education Program (WEP) provides basic education, General Education Development (GED) Test Preparation, English as a second language, and life skills programs to adults 18 years of age and older and who are not in school. WEP is available to school districts and BOCES. A portion of this aid was dedicated to providing educational services under the Federal Job Opportunities and Basic Skills (JOBS) Training program. This dedicated funding brought additional Federal dollars to New York State to provide education and training programs for Aid to Families with Dependent Children (AFDC) recipients. Additional funding will enable this adult literacy delivery system to expand its capacity to serve this population. Additional funding for Adult Literacy and Basic Education would be \$251,225.

k. *Increase Support for Adult Literacy Education Programs*

The Adult Literacy Education (ALE) Program provides basic education, General Education Development (GED) Test Preparation, English as a second language, and life skills to adults who are not enrolled in school. ALE provides funds for programs operated in postsecondary institutions, community-based organizations, volunteer literacy agencies, libraries, and unions. Additional funds will enable this segment of the adult literacy delivery system to expand its capacity. Additional funding for Adult Literacy Education would be \$227,500.

2. **Literacy programs should be culturally relevant and appropriate, convenient and safe; accessible to people with disabilities; and vigorously promoted to adults who need literacy services.**

Accessibility and Improved Services to Individuals with Disabilities

The accessibility issue can be addressed in two ways. First, EPE aid per contact hour and "unit of service" aid should receive an extra weighting of .50 for adult students who have been designated by a VESID office or a qualified occupational counselor as having a disability. This weighting would also be merited for those adults who were found to have had a disability by a committee on special education when they were in elementary or secondary school. The extra aid could support the cost of items such as adaptive equipment, readers, and signers.

One of the greatest problems affecting accessibility for individuals with disabilities in adult education centers is the age of those centers and the fact that many of them are out of compliance with Section 504 of Education Law. Evening adult classes are often conducted in secondary schools which are occupied by children in the day. These schools generally comply with laws regarding accessibility. Adult education day centers, however, are often former elementary and secondary schools which are no longer in service for the school-aged population. Because of their age, they are often multistory without elevators and often lack ramps to ensure access even to the main floor. Legislation should be enacted to provide building aid to bring these centers into compliance. Initial year funding for this item would be \$4,200,000.

3. **Innovative delivery systems should be developed to make adult literacy instruction available on demand. These delivery systems can include at-home instructional programs, instructional audiotapes and videotapes, computer-assisted instruction, cable TV offerings, etc.**

Technology

Much of the technology mentioned in the foregoing recommendation is equally applicable to instruction carried on in schools and centers. A significant barrier to the acquisition of technology for adult literacy programs is competition for available funds by collective bargaining groups. The comprehensive literacy plan points out that teachers in adult education receive lower salaries than elementary and secondary teachers and teachers of credit-bearing courses in colleges. Any

general increase in funding for adult education is likely to be followed by considerable pressure to increase salaries. Segregated funding, therefore, is proposed to bring a greater level of technology to adult literacy programs. A legislative proposal which adds a certain amount to EPE State Aid per contact-hour and "unit of service" payment would be an appropriate way to begin because it emulates the way technology is supported in elementary and secondary schools. Introduction of a payment-per-contact-hour system in those components of the adult literacy education system outside of the schools would then provide the opportunity for a similar per-hour aid enhancement to be applied only to the purchase and maintenance of instructional technology. Initial year funding for this item would be \$3,960,000.

4. **Comprehensive staff development programs should be made available to adult education practitioners statewide.**

Staff Development

At present, the only funding designated specifically for adult literacy program staff development is found in the Federal Adult Education Act. Section 353 of that Act requires that states use at least 10 percent of their Adult Education Act state grant to support a combination of staff development and innovative program design and operation. The literacy legislation presently pending in the Congress would increase that percentage to 15 percent for any increase in funding over that available in a base year and require that 10 of the 15 percent be devoted to staff development. If this legislation is enacted, it will provide a significant increase in funding for adult literacy program staff development, but still not enough to operate a comprehensive system. The majority of funds for New York State's adult literacy efforts come from the State. It would therefore be appropriate to enact similar State legislation which would set aside some percentage of increases in State-funded literacy programs for staff development purposes. There would be no additional cost for this item.

5. **Additional mechanisms should be established to produce more coordination and less fragmentation of adult literacy services in New York State.**

Regional Alliances

New York City is presently experimenting with a coordination model called the New York City Alliance. All the major providers of literacy and adult occupational education are represented. The Alliance examines new challenges in the City and

plans how to use the several funding streams of member agencies to best meet each challenge. Presently, Alliance activities are funded by contributions from each of the funding sources. Regional alliances based on the New York City model should be set up in the balance of the State. Because these regions would have considerably lower funding levels than New York City, some

funding might be needed to cover the ordinary expenses of meetings, travel, and communication. A legislative request could be made after the New York City model has had at least one full year to operate so that the elements of a transferable model could be identified. The initial year funding for this item would be \$125,000.

OMNIBUS LITERACY AND WORK FORCE DEVELOPMENT BILL PROPOSED COSTS

<i>Proposal</i>	<i>Projected First Year Cost</i>
Build capacity of adult literacy and workplace literacy programs.	
(a) "Unit of Service" funding	\$9,500,000
Five percent library literacy set-aside	500,000
(b) Unit of service apportionment to school districts and BOCES for services to adults with a high school diploma.....	4,000,000
(c) EPE funding for persons with limited proficiency in English who have a high school diploma	500,000
(d) Additional weighting and summer month funding for Incarcerated Youth Program	3,000,000
(e) Funding for video production to support literacy instruction.....	950,000
(f) Provide funds to support ACCESS/CASSET sites.	2,500,000
(g) Increase support for Employer Specific Skills Training Grant Program.....	655,700
(h) Increase support for Apprenticeship Related Training.....	236,500
(i) Increase support for Workplace Literacy programs.	146,250
(j) Increase support for Adult Literacy and Basic Education Programs.	251,225
(k) Increase support for Adult Literacy Education Programs.	227,500
Increase weighting of EPE and "unit of service" for out of school youth and adults with documented disabilities.....	4,200,000
Provide dedicated dollars with EPE and "unit of service" funding for technology.....	3,960,000
Provide a set-aside of new State funds for staff development.....	0
Establish regional alliances.....	125,000
TOTAL =	\$30,752,175

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New York State Education Department
Albany, New York 12230

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